

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Vito D. and Marie J. Spillone

Claimant(s)

vs.

Leny Tucker of F.D. Roberts
Securities, Inc.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

88-03122

CASE SUMMARY

Claimant(s) Vito D. and Marie J. Spillone alleged that Respondent(s) Leny Tucker of F.D. Roberts Securities, Inc. negligently mishandled Claimants' account held with Respondent. Respondent(s) denies Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Vito D. and Marie J. Spillone requested damages of Three Thousand Six Hundred Twenty Seven Dollars and Fifty Cents (\$3,627.50). Respondent(s) requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Harold Berman, was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on October 4, 1988 and by Respondent(s) on December 28, 1988. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

The claim against Respondent shall be dismissed in its entirety.

The parties shall each bear their respective costs including attorney's fees.

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

September 25, 1989